Department of Workforce Development
Bureau of Migrant, Refugee and Labor Services

Case Management Instructions

As of February 2004

Case Management Guidance

Social Service and TAP funds can be used to help meet the changing needs of refugee families. The Case Management service component has been included in the Social Services and TAP/Employment QPRs for many years, and remains a required service of the federal Office of Refugee Resettlement (ORR) and Wisconsin's Bureau of Migrant, Refugee and Labor Services (BMRLS).

Refugee agencies must ensure that Case Management goals reported on the BMRLS Social Service and Targeted Assistance Program quarterly reports are included in the Family Self-Sufficiency Plan and the individual's Employability Development Plan. All client contacts and services provided, including contact and follow-up dates, must be documented in the case file.

Case Management is customer-centered, goal oriented and family based. The Refugee Family Self-Sufficiency Plan is designed to address a broad range of family and work issues. Refugee agencies can use this form unless there is a current process in place that is equally thorough. Refugee agencies should work closely with the local Wisconsin Works (W-2) or Food Stamp agency to develop joint plans, or can adopt the W-2 Employability Development Plan or Food Stamp Employability Plan (FSET).

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1. Case Management Definition

Case Management is a systematic, progressive method of screening, assessing and planning to assist the refugee family become self-sufficient. Case Management is client directed, and focuses on the needs of the client.

Services include intake, assessment, Family Self-Sufficiency plan development, an Employability Development Plan (EDP), orientation, information/referral, service arrangement, individual advocacy, follow-up and the continual monitoring and adjusting of the refugee's participation in such services.

2. Case Management Reportable Outcomes

(a) A Case Management "outcome" is a significant event that requires work by both the Case Manager and the refugee. It represents a significant step forward in the client's move towards self-sufficiency and community integration. Refugee agencies must contribute directly to the achievement of the Case Management goal before the outcome can be reported to BMRLS.

(b) For the purpose of the Social Service and Targeted Assistance Employment and Training Programs Quarterly Program Report, the Case Management outcomes on Page 2, Other Services, do not include employment outcomes. Gaining employment is not a Case Management goal, since employment outcomes are reported on the Schedule C portion of the QPR.

(1) For example, there are currently six levels of the ESL program taught by the WI Technical College System. If the refugee case manager helps enroll the refugee in an ESL course, and assists and monitors the refugee's progress, moving up each level of ESL is an example of a Case Management outcome. Acquiring U.S. citizenship can count towards a case management outcome as long as the Self-Sufficiency Plan documents that goal and outcome.

(2) An example Case Management goal: "Client will know how to get to a grocery store and will be able to shop independently."

In order to achieve the Case Management goal, the agency coordinates supporting activities and steps necessary to reach the goal in the FSP. Case Management goal achievement requires the significant involvement of the case manager. In order to achieve the goal of traveling to the grocery store and shopping independently, the case manager may provide an orientation to the local bus service, and may require the client's attendance to a personal finance class.

Only when the goal of traveling to the grocery store and shopping independently is reached and the client can shop independently would the Case Management outcome be considered "achieved." Enter the date the outcome was reached in the FSP. Meet with the client if an additional case management goal is required, since one goal has been achieved.

(3) Another Case Management example: “Obtain a Wisconsin’s driver’s license.” If the case manager simply informs the client where the Department of Motor Vehicles is, this assistance would NOT be counted as a Case Management outcome (but could be counted as a supportive service and reported in the "Other Services" category on page 2 of the QPR).

However, obtaining a driver’s license may count towards a Case Management outcome if the case manager arranges for a bilingual driver’s education program, or resolves I-94 identification problems that enables the client to successfully gain a driver’s license.

(c) Reporting Case Management Outcomes to BMRLS. Achieving Case Management goals (outcomes) requires the significant involvement of the case manager. Only when the specific goal stated in the FSP/EDP is achieved and recorded in the FSP/EDP can the outcome be reported to BMRLS.

(1) A Case Management goal must be documented in the Family Self-Sufficiency Plan or the Employability Development Plan.

(2) A Case Management goal is something life-changing, contributing towards self-sufficiency.

(3) A Case Management outcome is an achieved goal that has been documented in the FSP. A Case Management outcome must correspond to the original goal and must be recorded in the case file.

(4) A person could have more than one Case Management goal. Although a person can have more than one Case Management goal, only one outcome per client can be reported each quarter on the SS or TAP QPR.

(5) The case manager role and supporting activities must be identified in the FSP/EDP.

(d) The following issues (this is not an all-inclusive list) can be addressed in the Family Self-Sufficiency Plan. The refugee service agency can help the client develop courses of action to break down identified barriers to self-sufficiency by identifying specific goals, resources and services needed to achieve the goal, The Case Manager and client's responsibilities towards achieving the goal must also be clearly identified.

Other possible Case Management goals examples include, but are not limited to:

(1) Obtaining a degree.

(2) Obtaining PRA and U.S. Citizenship. Obtaining U.S. citizenship is a critical issue for refugees (who arrived after the implementation of PRWORA (August 1996). Seniors and disabled refugees arriving after the implementation of this act will lose their SSI eligibility after residing for seven years in the U.S.

(3) Becoming a homeowner.

(4) Establishing a family financial budget.

(5) Gaining access to ongoing health care.

(6) The ability to get to work independently (buying a car, or learning how to use the bus, for example).

(7) Arranging for child care provider and/or for child care assistance.

(8) Establishing English proficiency through English Language Training (especially if progressing to higher ESL levels established by the Wisconsin Technical College System).

(9) Arranging mental health services.

3. Family Focused Case Management. The Bureau of Migrant, Refugee and Labor Services updated the Refugee Family Self-Sufficiency form in August 2003. Refugee agencies can use this form unless there is a current process in place that is equally thorough. If the client receives W-2 services, the W-2 agency is required to conduct an assessment and develop a case plan. Agencies should work together to reduce duplicate effort and ensure consistent planning and direction. A Wisconsin Works (W-2) EDP may be included as appropriate goal setting and documentation.

(a) Required case services for Social Services and TAP Case Management Activities.

(1) Intake. An example Intake from is included in the BMRLS Family Self-Sufficiency Plan. The intake process records background information on the family, and gathers the minimum information necessary to conduct an assessment.

(2) Assessment. An example Assessment form is included in the BMRLS Family Self-Sufficiency Plan. The goal of an Assessment is to gather detailed information about the family's barriers to self-sufficiency. The Assessment tries to identify child care needs, transportation requirements, health related issues, housing, etc. The Assessment also gathers information about English language ability, previous occupation and transferable skills of the adult family members, his or her previous employment experiences and training and any other barriers to employment.

(3) Employability Development Plan (EDP) (individual) and the Family Self-Sufficiency Plan (FSP) (family). The development of these plans follow as a result of the intake/assessment.

(a) The FSP/EDP includes a listing of client's employment and/or Case Management (self-sufficiency) goals and action steps necessary to reach the goals.

(b) The FSP/EDP includes the job search plan. The job search plan includes developing a resume, completing job applications, and job interviewing. A timeline should be developed to identify how many employer contacts are made, and job applications completed each week. The case manager will assist the refugee in learning how to use the Wisconsin JobNet (http://wisconsinjobcenter.org/wjc/) and search for appropriate jobs.

(c) The FSP/EDP also includes a service plan to overcome barriers identified in the Assessment form.

(d) The FSP/EDP is to be mutually developed and signed by both the case manager/ job developer and the client.

(4) Orientation. Helping the refugee family group to understand cultural expectations about employment, the world of work, work ethic, and services available to help the family become self-sufficient. Orientation includes individual and group orientations that are provided directly by the agency, or arranged through other community service providers. Orientation may also include other areas such as health system orientation, financial management, etc.

(5) Information and Referral . Providing the family with necessary information and resources to access appropriate services from within the agency or other service providers in the community.

A written referral form must accompany the client and to be shared with the referred provider. This includes in-house referrals to employment and training services within the agency.

(6) Arranging for Services. Identifying service needs of an individual client which are not currently available (or are not available in a culturally competent manner) and working with a community provider to help develop an appropriate service to meet the need.

(a) English as a Second Language (ESL). Case Managers should arrange for an assessment of the client's ESL skills. After the assessment, the case manager and the client should discuss language training options. The case manager should encourage the client to participate in the most appropriate (technical college, literacy council, or other structured ESL training program) and work with the client to overcome obstacles to attend class (for example identify child care options, transportation options). The Self-Sufficiency Plan must document changes to the client's ESL proficiency.

(b) Citizenship activities. As part of the Social Services program, the case manager and the client must discuss the advantages of applying for U.S. citizenship, including the potential loss of welfare benefits and deportation for Permanent Resident Aliens. If the refugee desires to obtain U.S. citizenship, that goal should be documented in the Self-Sufficiency Plan. Refugee agencies operating a refugee Social Service program must help the refugee develop a plan to obtain U.S. citizenship.

(1) Document and outline the steps necessary to acquire the Permanent Resident Alien card in the Self-Sufficiency Plan.

(2) When the refugee is eligible (after residing in the U.S. for 1 year) ensure that the refugee forwards the Change of Status application to the (federal) Bureau of Citizenship and Immigrant Services.

(3) Immigrants must reside in the U.S. for five years before they are eligible to apply for U.S. citizenship. Therefore, after approximately 4 1/2 years, the refugee agency should contact the client to ensure attendance at classes and further coordinate the application for U.S. citizenship.

(7) Follow-up. Contacting the family and service provider to find out how the client/family is progressing or how the client/family is being served. Contacts by the case manger may be made in person, by telephone or by letter.

The results of follow-ups must be recorded in the case file. BMRLS has produced an example Case File log for agencies to consider (see attachment #2).

4. General Performance Standards.

(a) All adult Refugee Cash Assistance (RCA) recipients must be enrolled in employment services within 30 days of determining eligibility of RCA.

(b) Within 30 working days of case opening, the case manager must complete the Family Self-sufficiency Plan (FSP), including the Assessment form and EDP for each adult member of the family. Documentation of eligibility (to include a copy of the I-94) assessment and the case plan are entered into the client file.

(c) For refugees reported on the SS or TAP QPR as gaining employment:

(1) The case manager will help the refugee develop a resume and/or complete job applications as appropriate.

(2) The case manager will follow up with the employer to coordinate possible worksite issues the same week employment is secured.

(3) The Case Manager will follow up with the employer in the first 30, 60 and 90 days after employment with the goal of helping the employed refugee retain the job by offering interpretation, translation, and possible worksite literacy assistance. Follow-up should continue periodically for at least 18 months.

(4) All job placements and job upgrades of adult family members receiving public assistance must be reported to the public assistance agency within ten (10) working days.

(d) For refugees with established Case Management goals (including ESL and/or citizenship goals)

(1) At least every 30 days, the case manager must follow-up with each family and/or service provider(s) to determine progress.

(2) Amend the FSP or EDP as necessary to allow case management activities to occur around the work schedule. A record of each follow-up must be maintained in the case file.

(e) Every six months, the case manager must update/revise the FSP, especially the EDP. The updated plan must be maintained in the case file.

(f) The case manager will perform the gatekeeper function and will coordinate services for the family. The case manager will track the family progress and will retain this responsibility until such time as the family becomes self-sufficient, or is no longer eligible for refugee services.

5. Case Notes

Case notes must be a factual record of case history and action. Case notes develop a summary record of an individual's chronological program participation history. The following are key recommendations for writing appropriate comments:

(a) **Enter data immediately** so events are entered sequentially. The case notes should provide anyone with program knowledge a general concept of the individual's chronological participation in the program.

(b) Phrase all comments so that they are **easily understandable by others**. Use common abbreviations so that others can read them. The example Case File log at attachment #2 uses standard abbreviations, that not only help with brevity, but can help remind the case worker some important issues to continually address.

(c) **Write comments as if they are a public record.** Record actual worker observations and actual exchanges that took place between the individual and the case manager. A good rule to follow is – write only comments that the case worker will publicly acknowledge. Remember, a client can request to see a copy of his/her file, and that includes the case notes.

(d) **Maintain notes of all participant contacts** (in person, via telephone, e-mail or mail) to assist in refreshing the case managers memory and to help plan future employment and/or training direction. Also note if someone calls on behalf of the individual.

(e) **Document case manager actions and employment/training plans.** Complete case files help the event the case manager in the event you are questioned at some later point regarding your interactions with the client.

(f) **Do NOT enter worker biases or judgements.** Notes should be written to describe an individual's behavior rather than case manager's interpretation of the behavior. For example: don't make the statement, "Individual has a bad attitude." Instead describe the participant's behavior, "client stated they don't want to participate in any training unless they get paid for it."

(g) **Avoid making subjective statements**. Case Managers must avoid entering personal comments in the case record. Remain objective and ensure that their personal values and opinions do not interfere with the process of providing effective case management.

(h) Workers should also **review comments** for accuracy, comprehension, readability, grammar, and completeness.

6. Case File Documentation. Case files should be kept in a locked container or file cabinet. The contents of the file are confidential and are only for official use. Case files should contain the following documents:

(a) <u>Intake Form.</u> See Enclosure #1 for an example Intake Form.

(b) <u>Assessment form.</u> See Enclosure #1 for an example Assessment form.

(c) <u>Family Self-Sufficiency Plan/Employability Development Plan</u>. See Enclosure #1 for an example FSP and EDP.

(1) Completed FSP/EDP form for each adult member of the family.

(2) Referral forms, in house and to other Service Providers, and a report to County/W-2 informing that client has obtained employment (within 10 working days).

(d) Eligibility and Supportive Documents

(1) Photocopy both sides of the I-94 confirming status as a refugee or asylee (a letter from the Immigration Judge granting asylum is allowable documentation).

(2) Photocopy of Alien Registration card (the "Green Card") if the refugee is permanent resident.

(3) Record any public assistance that the refugee may be receiving (RCA, W-2, Food Stamps, etc). This information will help you determine if the case can count towards a Grant Termination, Grant Reduction or Grant Diversion. This information can also help you determine resources that the refugee may be eligible for but has not yet applied.

(4) Once employment is secured, record the name and contact information of the employer, type of position, wage and health insurance benefits.

(5) A copy of the Social Security card is not required, but can prove helpful.

(6) A copy of the resume and/or cover letter for employment, once developed can also be maintained in the clients' file, but is not required.

(e) Case Activity Log. This is a cumulative account of all services provided to date.

(1) Entries must be dated.

(2) Chronicle each instance of interaction with the refugee, document services provided, including telephone conversations (the length of interaction doesn't have to be recorded in the activity log, but may be helpful).

(3) Document outcomes and employment.

(4) Document follow up activity and dates.

See the Instructions for Completing the Targeted Assistance Program (TAP) and Social Service (SS) Quarterly Program Reports for instructions on how to report Case Management and Supportive Service Activities.